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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Richard R. Reisman

Appln. No.: 09/553,397 ✓

Filed: April 20, 2000

For: **SOFTWARE AND METHOD FOR  
MONITORING A DATA STREAM  
AND FOR CAPTURING DESIRED  
DATA WITHIN THE DATA  
STREAM**

:  
:  
: Docket No. RRR-00-001US  
:  
: Group Art Unit: 2182  
:  
: Examiner: T. Q. NGUYEN

**RECEIVED**

SEP 25 2002

Technology Center 2100

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §§ 1.97 and 1.98**

Honorable Assistant Commissioner  
of Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 C.F.R. §1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached Form PTO-1449 and/or listed herein and which the Examiner may deem relevant to patentability of the claims of the above-identified application.

Applicant respectfully submits that the listed documents were submitted in co-pending patent application Serial No. 08/641,010, which was filed on April 29, 1996. Since submission of the documents listed on the PTO-1449 Form is in full compliance with the provisions of 37 C.F.R. §1.98(d), it is respectfully submitted that Applicant need not submit a separate copy of each document.

The Information Disclosure Statement is being submitted under the provisions of:

☐ **37 C.F.R. §1.97(b)**

The Information Disclosure Statement submitted herewith is being filed within three

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §§1.97 AND 1.98

months of the filing of a national application, within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application, or before the mailing date of a first Office Action on the merits, whichever event occurs last.

☒ **37 C.F.R. §1.97(c)**

The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR §1.491 in an international application, or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR §1.113, or
2. a Notice of Allowance under 37 CFR §1.311,

whichever occurs first.

Also submitted herewith is:

- ☒ a certification as specified in 37 CFR §1.97(e),

OR

- ☐ the fee set forth in 37 CFR §1.17(p) for submission of an Information Disclosure Statement under 37 CFR §1.97(c). For submissions under the provisions of 37 C.F.R. §1.1.97(c), the Commissioner is hereby authorized to charge the applicable fee set forth in 37 C.F.R. §1.17(p) of \$180.00 to our Deposit Account No. 16-2372. A duplicate of this copy of this page is enclosed.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

U.S. SERIAL NO. 09/553,397

PATENT APPLICATION

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §§1.97 AND 1.98

Respectfully submitted,



Raymond H. J. Powell, Jr.

Reg. No. 34,231

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Attachments:

PTO Form 1449 (<sup>2</sup>~~15~~ Pages)  
Certification Under 37 C.F.R. §1.97(e)

Date: September 23, 2002

Attorney Docket No.: RRR-00-001US

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT**

Docket No.  
**RRR-00-001US**

In Re Application Of: **Richard R. Reisman**

Serial No.  
**09/553,397**

Filing Date  
**April 20, 2000**

Examiner  
**T. Q. NGUYEN**

Group Art Unit  
**2182**

Invention: **SOFTWARE AND METHOD FOR MONITORING A DATA STREAM AND FOR CAPTURING  
DESIRED DATA WITHIN THE DATA STREAM**

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

**Statement Under 37 CFR 1.97(e)(1)**

- ☐ Each item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

**Statement Under 37 CFR 1.97(e)(2)**

- ☒ No item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

  
Signature

Dated: **September 23, 2002**

**Raymond H. J. Powell, Jr.**  
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I certify that this document is being deposited on  
with the U.S. Postal Service as first  
class mail under 37 C.F.R. 1.8 and is addressed to the  
Assistant Commissioner for Patents, Washington, D.C.  
20231.

*Signature of Person Mailing Correspondence*

*Typed or Printed Name of Person Mailing Correspondence*

CC: